
Sunset Review of the Arizona Department of Library, Archives and Public Records

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Executive Summary

The National Conference of State Legislatures (NCSL) conducted a Sunset Review of the Arizona Department of Library, Archives and Public Records (the Department, or DLAPR). The NCSL study team developed findings and offers recommendations in the following areas.

The Department

The Department is responsible for a wide range of distinct but interrelated functions, including library service, museum management, archival materials preservation and records management. The Department staff of 138.1 full time employees are organized into eight functional units. Staff work in the "old Capitol building" and at five other locations in the Phoenix area.

General Observations

The last several years have been a period of major growth and revitalization in the Department. Instilled with a new sense of energy and vision from the director appointed two and one-half years ago, the Department is pursuing innovative approaches to meeting its broad range of responsibilities. The Department has enhanced services to the Legislature; initiated collaborative projects involving the library; archival and museum communities; and achieved significant success in fundraising for the benefit of public libraries. In the words of one individual, in the last few years the Department has taken "a gigantic step forward."

Preservation of Arizona's Archival Material

Arizona statutes require that the Department oversee the collection and preservation of all materials that pertain to Arizona history. However, the Department is unable to comply with these statutory requirements, because it lacks adequate storage space and because current storage conditions jeopardize the archival material.

State Documents Collection

The Department is the official depository of state publications. Because of difficulties in identifying, collecting and cataloging materials for this collection, it is incomplete. The State Documents Collection is an important resource for Arizona government information that should be available to the public. The Department has undertaken a number of important steps to improve the state documents collection, but more work is needed. The State Publications Task Force, created by the Department in 1997, has developed recommendations to improve this collection.

Management Issues

The internal management of the Department overall is satisfactory, but several personnel issues that hinder the effectiveness of the Department need to be addressed.

Internal Communication

A staff survey conducted as part of this review and conversations with Department staff indicate that Department communication is satisfactory. However, the size of the Department, the location of staff in six different facilities throughout the Phoenix area, the recent reorganization of Department responsibilities, and development of new projects during the past two years are factors that create communications challenges.

Personnel Guidelines and Policies

Most Department staffs are governed by the Department of Administration personnel policies and practices. However, with the passage of legislation in 1999 making new Department staff subject to the legislative personnel system, the Department needs its own personnel guidelines and policies. During the course of this review, these guidelines were completed.

Salaries

Department division directors and staff report difficulty with attracting staff due to low pay. A limited survey of area libraries indicates at least a \$6,000 disparity between the midpoint of the salary range for entry level librarians in the Department and those in Phoenix-area public libraries. Low salaries place the Department at a distinct disadvantage in hiring qualified staff.

Staffing

The need for an adequate number of staff at appropriate levels of responsibility was a recurring theme in discussions with staff and directors.

Relationship with the Legislature and Other Constituents

The Department has made a concerted effort to improve communication with and service to the Legislature during the last few years. Staff created new information products to inform the Legislature about their work, and they developed new services to assist with legislative research needs. Survey results indicate public libraries and agency records managers are satisfied with Department services.

Compliance with Enabling Statutes

A review of the enabling statutes indicates that the statutory requirement regarding notification about personal property of historic interest is not being met. Also, there are inconsistencies between the Department divisions set forth in statute and the current functional organization of the Department, including responsibility for collecting state documents. In addition, the responsibilities of the Arizona Historical Advisory Commission may need clarification.

Sunset Questions

The Department should be continued for another 10 years under the Arizona sunset law.

Recommendations

Recommendation 1. The Legislature should expand storage space for the Arizona archives collection. This legislative action should be based upon a systematic review and evaluation of storage expansion options and costs conducted by the Department.

Recommendation 2. The Legislature should provide for enhanced environmental controls and fire safety installations for the Arizona archives collection. This legislative action should be based upon a systematic review and evaluation of environmental control and fire safety options, costs and priorities conducted by the Department.

Recommendation 3. The Department should prepare recommendations for improving the State Documents Collection for review by the Legislature.

Recommendation 4. The Department should continue to make communications with staff a priority.

Recommendation 5. The Department should conduct a salary survey and develop a compensation plan and present this information to the Legislature.

Recommendation 6. The Department should continue to give high priority to providing research services and raising its visibility with the Legislature.

Recommendation 7. The Department should provide more timely pick-up of agency records for storage at the Records Management Center.

Recommendation 8. The Legislature should review notification requirements regarding historic items to determine if the statutes should be revised.

Recommendation 9. The Legislature should revise the enabling statutes governing the organization of the Department to designate the Department's responsibilities without requiring the establishment of particular divisions.

Recommendation 10. The Legislature should revise the enabling statutes to require the Department to collect state documents, without specifying division responsibility for document collection.

Recommendation 11. The Department should study the Arizona Historical Advisory Commission's current responsibilities to determine if statutory revisions are necessary and make recommendations to the Legislature.

Introduction and Background

The National Conference of State Legislatures (NCSL), under contract with the Arizona Legislature, has conducted a sunset review of the Department of Library, Archives and Public Records (DLAPR) pursuant to a 1998 Joint Legislative Audit Committee (JLAC) resolution. The review was conducted as part of the Legislative Review of Agencies set forth in Arizona Revised Statutes (A.R.S.) Sections 41-2951 through 41-2958. A sunset review is a systematic evaluation of an agency to determine if it should be continued, terminated, revised or consolidated.

The Department of Library, Archives and Public Records, an agency of the legislative branch, is established in A.R.S. Sections 41-1331 through 41-1354 as "the state library administrative agency." The Department's activities are guided by a legislative board composed of " ... the President of the Senate, Speaker of the House of Representatives and one member of the Senate appointed by the President of the Senate and one member of the House appointed by the Speaker of the House."

The Department

The Department, including the director's office and seven divisions, has a wide range of roles and responsibilities. The director, who is also the "state librarian," oversees the operations of all of the divisions, each with distinct but interrelated missions.

Table 1. Department Divisions At-A-Glance

Division	FTEs	Services
Braille and Talking Book Library	23	Serves patrons who are visually and physically disabled by providing recorded books, periodicals, and playback equipment; records materials and develops specialized bibliographies and newsletters.
History and Archives	14	Collects, preserves and makes available permanently valuable public records to the Legislature, state agencies, local government and the public.
Law Library	8	Contains case law, statutes, periodicals, treatises and other legal materials to serve the Legislature, courts, legal community and the public.
Library Extension	8	Provides consulting assistance, conducts workshops and awards federal and state grant funds to Arizona's public libraries.

Table 1. continued

Division	FTEs	Services
Museum	16	Collects and exhibits historical items for the State Capitol Museum and the Arizona Hall of Fame Museum at the Carnegie Library, provides tours of the capitol complex and operates a museum shop in the capitol.
Records Management Center	15	Maintains and stores inactive records of state agencies, consults with state and local government agencies, conducts workshops on records management, and oversees preservation imaging and storage operations.
Research	33	Serves the Legislature, state government and the public with a collection that includes state and federal agency publications, genealogy materials, a reference collection and maps.

The Department directs and coordinates a number of statutorily authorized boards and commissions, including the State Historical Records Advisory Board, the State Board of Geographic and Historic Names, the Board of Library Examiners and the Historical Advisory Commission. The State Librarian is required by law to meet annually with the state's county librarians to discuss collaborative efforts and library development.

The Department employs 128.1 state-funded, eight federally-funded positions, and two donated positions. Department services are provided from the following locations in Phoenix:

Director's Office State Capitol Building	History and Archives Division State Capitol Building	Museum Division State Capitol Building
Research Division State Capitol Building	Braille & Talking Book Library 1030 North 32 nd St.	Records Management Center 1919 Jefferson
Law Library Supreme Court Building 1501 W. Washington	Library Extension Division Evans House 1100 W. Washington	Hall of Fame Museum Carnegie Library 1101 W. Washington

DESCRIPTION OF THE DEPARTMENT

The Department is unique among state libraries for its interdisciplinary structure that encompasses archival, museum, record management and a wide range of library functions.

Director's Office

The Director's Office includes the director and 14 Department staff who are responsible for information technology services, personnel management, and finance and accounting. This group is located on the second floor of the legislative service wing of the state capitol building.

The director serves at the pleasure of the Board of Library, Archives and Public Records and is responsible for overseeing all Department activities. The director serves as "state librarian" and has a variety of responsibilities in the state library community. In addition, the powers and duties of the director include preservation of public records and management of historical materials. The director also serves as an ex-officio member of several advisory boards and commissions.

Braille and Talking Book Library

One-fifth of Arizona's more than 65,000 visually and physically disabled citizens are served by the Talking Book Library. In 1969, the division was designated as a Regional Library by the Library of Congress, and operates under the auspices of the National Library Service, from which the division receives the majority of its talking book tapes. Free services are provided to patrons who have either permanent or temporary disabilities and to individuals or institutions that assist these patrons. Services and referrals are available through public libraries.

The talking book division loans recorded books, Braille books and magazines; distributes throughout the state and repairs audio equipment; and offers digital information for home computers. An online system contains a current titles catalog and tracks loan information. Volunteers donate up to 40,000 hours every year to repair audio equipment, narrate and monitor recorded books and magazines, and offer support that enables the division to serve the specialized information needs of its patrons. The library employs 23 individuals.

History and Archives

A.R.S. Sections 41-1338, 41-1339 and 41-1340 mandate that the division's collection contain " ... all available works, books, newspaper files, pamphlets, papers, manuscripts, documents, magazines and newspaper articles, maps, pictures, items and materials pertaining to or bearing upon the history of Arizona." The History and Archives Division is the " ... central depository of all official books, records and documents not in current use by the various state offices and departments of the state, the counties and incorporated cities and towns." The division occupies the mid-section of renovated third floor space in the capitol, with one-third of the collection stored on several levels of the capitol building. The other two-thirds of the state archives are stored at the Records Center.

History and Archives identifies, collects, describes, preserves and makes accessible Arizona's permanently valuable public records. A division staff of 14 people assist individuals and organizations with historical records preservation,

promote historical research, and encourage the study of Arizona history with workshops, tours, exhibits and collaborative work with historical and educational entities. They disseminate information about Arizona archived records, appraise public records to determine historical value, and consult with state and local government agencies and the public about management of archival programs. Division staff work closely with staff in the Museum, Research and Records Management divisions on shared collection and preservation projects.

In January 1998, the Arizona Collection—consisting of books, photographs and other printed materials about Arizona and the Southwest dating from the territorial period—was moved from the Research Division to the History and Archives Division.

Law Library

The Law Library, located in the Arizona State Courts Building, assists the Legislature, courts and state agencies as well as the legal community and public. The library maintains a collection of more than 100,000 print volumes and 234,000 microforms of statutes, case law, treatises and legal periodicals. In addition, the law collection includes electronic on-line services, CD-ROM databases and access to Internet Websites. The Law Library, which includes a staff of eight, offers reference and legal research services to the Legislature.

Library Extension

The Department's primary connection to the state's library community is the Extension Division that coordinates statewide planning and development of library services. A staff of library professionals assists libraries across the state by providing consulting services on library management, strategic planning, construction and automation. The division consultants offer statewide continuing education programs for librarians and the larger library community, plan and coordinate the Summer Reading Program and humanities projects, and coordinate and support interlibrary cooperation through the Arizona Network (AZNET) online systems. Technology staff from the director's office work with division staff to assist libraries with computer and Internet services. The Library Extension Division has a staff of eight people.

A major responsibility of the division is to provide information and assistance with state and federal funding for libraries and museums. In fiscal year 1997-98, the Library Extension Division awarded \$1.2 million federal funds in grants to 149 libraries. In addition, the division assisted libraries in applying for federal telecommunications e-rate discount funds that resulted in 44 libraries receiving funds totaling nearly \$700,000. The Department has successfully completed the statewide application process for an estimated \$3 million to \$5 million in grant funds from the Gates Learning Foundation. Public libraries that serve low-income communities may qualify to receive funds to upgrade their public use computers and Internet accesses in 2000.

Museum

Services provided by the Museum Division staff include museum exhibits, educational programs, museum and Capitol complex tours, and commemoration of special Arizona historical events. The division operates the state Capitol Museum and museum shop in the capitol building and the Arizona Hall of Fame Museum in the Carnegie Library; both are rehabilitated historic structures. The museum employs a security staff at both locations. The staff collects museum items, designs and constructs exhibits and works to repair and preserve historical pieces and other materials.

The Capitol Museum has programs and exhibits about Arizona state government and the early statehood period. The Hall of Fame Museum memorializes Arizona's historical population who lived and settled in the state and contributed to the state's progress and development. More than 28,000 students from 556 schools tour the two museums each year. The museum has a staff of 25 full-time, part-time and seasonal employees, for a total of 16 FTE.

Records Management

By law, A.R.S. Section 41-1345.01, the Records Management Division must " ... provide for an efficient and contemporary records management program using modern techniques to facilitate the economic creation, maintenance, control, retention and disposition of records." The division operates a central facility to store inactive public records, establishes standards for record management, operates a secure vault for selected essential records and operates a preservation-imaging center. Records Management also provides consulting and training in all areas of record management. In 1997-98, the division presented 100 records seminars throughout Arizona to nearly 1,500 government officials. The division often works with the History and Archives Division to consult with state agencies, local governments and the public on record preservation and disaster preparedness and recovery management issues.

With a staff of 15, the Records Center maintains and retrieves inactive state agency records, develops record retention schedules for state and local government agencies, microfilms selected state agency documents and Arizona newspapers as part of the U.S. Newspaper Project, retains state agency microform and computer tape master copies in a climate-controlled vault, and processes and duplicates microfilm of state agency current and active records. The division uses bar code inventory software to track approximately 200,000 record boxes in three storage facilities.

In 1999, legislation was enacted to "establish a fee schedule to systematically charge agencies for services related to record storage." The fees will be reinvested in Records Management services.

Research

The division serves the research, reference and referral needs of legislators and staff, state agencies and the public. The collection of nearly 900,000 print volumes and 100,000 microforms includes a reference section, maps, federal and state documents, and the second largest genealogy collection in Arizona. From reference areas on the third floor, staff answer telephone and "walk-in" inquiries from patrons. The division also provides inter-library loan assistance to libraries and uses on-line services to access research material not held by the department.

The division has initiated several noteworthy projects that improve services to the Legislature, the library community and the public. It developed an on-line catalog, now available on the Internet at <http://dlaprcat.lib.az.us>, containing nearly 450,000 records from the Arizona History and Archives, Research and Law Library Division collections. The department initiated a statewide contract for purchasing library material such as books, journals and databases that enables all political subdivisions to take advantage of cost savings. It improved the reference and reading areas on the third floor of the 1938 Capitol addition by combining the most frequently used collections on one floor. The History and Archives Division's public service areas and the genealogy collection are now on the third floor with the research library.

Research services to the Legislature have expanded. The division developed electronic reference stations that provide 24-hour access to a variety of electronic information resources, including newspapers, periodicals, statutes, legislation, cases and topical materials. Initially, these stations were located in the Capitol, but in 1998, the division established four stations in the House and Senate office buildings. These areas are staffed during scheduled times each day by a reference librarian who is available for training and research assistance. In addition, division staff provided assistance to both the Senate and House in record retention and organization of their libraries.

The research division includes a staff of 33.

Budget for the Department

Below is the budget for fiscal years 1998 through 2001. The new Records Storage Fund established by 1999 legislation will provide funds beginning in 2000.

Table 2. Department Budget - General Fund and Other Appropriated Funds

CATEGORIES	1998 ACTUAL	1999 ESTIMATE	2000 APPROVED	2001 APPROVED
FTE Positions	120.1	122.1	128.1	129.1
General Fund	\$6,027,200	\$6,614,500	\$6,993,400	\$7,122,200
Records Fund	0	0	\$431,6000	\$452,000
Lease-Purchase Fund	\$15,000	0	0	0
Total Appropriations	\$6,042,200	\$6,614,500	\$7,425,000	\$7,574,200

Department Initiatives

The Arizona Department of Library, Archives and Public Records has initiated several exemplary projects during the last two years.

Innovative Projects

The Department has a broad, complex mission to lead and/or coordinate library, museum, record management and archival preservation activities throughout the state. To fulfill this mission, the Department recently embarked on several creative new projects, working collaboratively with state and national experts in the communities the Department serves. The following projects illustrate the Department's innovative approach to fulfill its statutory mission.

The Arizona Convocations

In 1999, the Department convened a meeting of Arizona's cultural heritage professionals to identify ways to preserve and provide access to Arizona research materials.

In Sierra Vista in February 1999 and in Prescott in May, meetings brought together more than 100 managers, librarians, historians, archivists, curators,

genealogists and records officers from organizations and institutions across the state to talk about statewide cooperation and collaboration for the acquisition and preservation of unique Arizona research materials, such as documents, photographs, artifacts, books and maps. Participants created several task forces to gather collection policies and coordinate collection development, recommend and encourage statewide resource sharing, and promote conservation and preservation of Arizona's heritage.

A collaborative library, museum and archival project of this type and scale is a first-of-its kind effort in the country.

The Cultural Inventory Project

Participants in the convocations generated the idea of developing a cultural inventory, or central listing of collection descriptions in Arizona museums, libraries and archives. The Department has assumed responsibility for completing the inventory. These descriptions will be available to researchers and the public both in print and in electronic form.

The Five-State American Indian Project

The Five-State American Indian Project is an effort to identify library, archive and museum training and information needs of Indian tribes in Arizona, Colorado, Nevada, New Mexico and Utah. The project will develop communication networks to address common issues, inform tribes about available resources in technology, funding and training, and help tribes preserve their cultural materials. The Department is the lead agency for the National Leadership Grant (\$150,545) from the Institute of Museum and Library Services, which provided the funds to undertake this project.

Funding for the Department and Public Libraries

The Department has successfully obtained federal and foundation funding for Department projects and public libraries across the state. The following projects illustrate the Department's fundraising accomplishments.

Library Services and Technology Act Funding

Based on the Department's five-year plan, the Institute of Museum and Library Services will make available \$2,272,702 under the Library Services and Technology Act (LSTA). This funding is directed to ongoing library projects such as continuing education, state documents cataloging, upgrading and operating the statewide network, and to individual libraries.

Arizona Newspaper Project Grant

The Arizona Newspaper Project's goals are to improve bibliographic access to Arizona newspapers and to preserve information in them by preservation microfilming. Nearly \$700,000 has been provided by the National Endowment for the Humanities beginning in 1991 for this project to examine, catalog, microfilm and preserve state newspapers.

Gates Learning Foundation Grant

Starting in 2000, Arizona public libraries that serve low-income communities may qualify to receive \$3 million to \$5 million in funding from the Gates Learning Foundation to acquire computers, software, Internet connection, training and technical support.

The Department has developed an innovative strategy to bring together library, museum and archival experts to preserve Arizona's cultural heritage and for their cooperative work with other states. In addition, it has been very successful in obtaining funding for projects critical to the Department's mission, such as preserving Arizona historical materials and improving on-line services for Arizona's public libraries. Overall, we commend the Department's vision and creativity in developing coordinated collaborative strategies to accomplish its statutory mission.

Methodology

This sunset review was conducted to evaluate the operations of the Department of Libraries, Archives and Public Records, focusing primarily on the 12 sunset factors found in A.R.S. Section 41-2954.

The NCSL study team followed a methodology that it has used to conduct similar studies of legislative staff agencies in other states. This methodology is an accepted and effective approach to assessing the operations and internal management of a legislative staff agency. In completing this review the NCSL study team conducted the following activities.

1. Reviewed the statutes, annual reports, workload data and other documents that describe the role, responsibilities and functions of the Department.
2. Conducted personal interviews with selected state legislators, key legislative staff and individuals in the library community. During the interviews, the NCSL study team solicited feedback on the work processes used at the Department, the quality of the work performed by the Department, satisfaction

with the Department, views on the internal management of the Department, strengths of the office and areas for improvement.

3. Surveyed state legislators, legislative staff, public libraries, and state agency officials responsible for record management to determine their familiarity and satisfaction with the Department.
4. Interviewed a cross-section of 58 Department staff (approximately 45 percent) and administered a confidential written questionnaire to all Department staff.
5. Assembled a review team of experienced legislative staff who assessed the information gathered by the NCSL study team, reviewed the draft report and provided feedback on the recommendations and findings.

Acknowledgements

The NCSL study team consisted of Jo Anne Bourquard and Rita Thaemert. Dianne Odrobina, legislative administrator, Michigan, and Dale Propp, director, Legislative Reference Library, Texas, served as outside reviewers for this project. They reviewed the information developed by the NCSL study team, reviewed the draft report and provided valuable advice, feedback and observations.

The National Conference of State Legislatures expresses its appreciation to the Department of Libraries, Archives and Public Records director, Department staff, and the members and staff of the Arizona Legislature for their cooperation and assistance during the course of this sunset review.

Sunset Factors

In accordance with A.R.S. Section 41-2354, the Legislature should consider the following 12 factors in determining whether the Department of Library, Archives and Public Records should be continued or terminated.

1. Objective and purpose in establishing the agency

A.R.S. Sections 41-1331 through 41-1354 establish powers and duties of the Department of Library, Archives and Public Records. The Department was established to serve as "the state library administrative agency," and in that role, to oversee plans, support resources and coordinate public library services statewide. The Department is charged with managing the state's programs to identify, collect, store and preserve historical and public records and with directing operations of two museums, Capitol and Carnegie. In addition, the Department is required to "develop library services for the blind and physically handicapped" and establish a "library division" for providing research and reference services to state government and the public.

2. The effectiveness with which the agency has met its objective and purpose and the efficiency with which it has operated

The Department has a complex mix of research, information delivery and educational responsibilities. The Department is organized into eight units, including seven divisions: Braille and Talking Books, History and Archives, Law Library, Library Extension, Museum, Records Management Center, and Research, and the Director's Office. Through the Law Library, History and Archives, and Research divisions, the Department provides reference services and research to the Legislature, state government and the public. Through the Extension Division and the Braille and Talking Books Library, the Department provides library services throughout the state of Arizona for public libraries and for the blind and physically handicapped.

Overall, NCSL finds the Department has been effective and efficient in meeting its objectives. With several of the projects recently initiated by the Department such as the Convocations, the Department has developed innovative approaches involving collaboration with other groups in order to meet its varied goals. In areas where there are obstacles to completing its mission, the Department has developed plans to overcome the barriers.

3. The extent to which the agency has operated within the public interest

The Department operates within the public interest by providing a wide range of services to public libraries, the Legislature, state agencies and the public. Department staff are committed to service in the collection, preservation and dissemination of materials and to providing educational services to the public. The interests of the Arizona public have been served by the Department's effective response to public and government needs.

4. The extent to which rules adopted by the agency are consistent with the legislative mandate

Rules regarding the Department's library and archives collections were promulgated when the Department was part of the executive branch of government. Because the Department is now part of the legislative branch, it is not required to follow the Administrative Procedures Act for Rulemaking. However, each of the Department divisions that provide access to collections of materials – Braille and Talking Book, History and Archives, Law Library, Research Library, and Records Management Center – has formulated usage policies and practices. These rules are consistent with the legislative mandate.

5. The extent to which the agency has encouraged input from the public before adopting its rules and the extent to which it has informed the public about its actions and their expected effects on the public

This factor is not applicable because as the Department is not subject to the rule adoption procedures in the Administrative Procedures Act.

6. The extent to which the agency has been able to investigate and resolve complaints that are within its jurisdiction

Most patron complaints are resolved at the division level. If division staff cannot successfully resolve complaints in the normal conduct of their duties, the complaints are referred to the division director. More serious complaints that cannot be resolved by the division director are referred to the Department director. The Department reports that it receives very few complaints and most of those are successfully resolved by division staff.

7. The extent to which the attorney general or any other applicable agency of state government has the authority to prosecute actions under the enabling legislation

Arizona state government agencies are required to have a records management program, and A.R.S. Section 41-1346 makes it a class 2 misdemeanor to damage, alter or remove public records without the Department's permission. A.R.S. Section 41-1346 (D) makes it a class 2 misdemeanor if the head of a state or local agency fails to establish a "continuing program for the economical and efficient management of the public records of the agency" and fails to cooperate with the Department regarding submission of various lists and to comply with Department rules for records management.

A.R.S. Section S41-1348 also makes it a class 2 misdemeanor if a head of an agency or a political subdivision fails to obtain Department approval to institute any program to reproduce and catalog records in its custody. To our knowledge, these statutory provisions have not been tested.

Public libraries supported by public funds may not disclose information "which identifies a user of library services as requesting or obtaining specific materials or services or as otherwise using the library." A.R.S. Section 41-1354. Violators are guilty of a class 3 misdemeanor.

The attorney general has authority to prosecute these violations.

8. The extent to which the agency has addressed deficiencies in its enabling statutes that prevent it from fulfilling its statutory mandate

Current statutes do not inhibit the Department from fulfilling its statutory mandate. However, a review of the enabling statutes indicates that the statutory requirement regarding notification about personal property of historic interest is not being met. Also, there are inconsistencies between the Department divisions set forth in statute and the current division functional organization of the Department, including responsibility for collecting state documents. In addition, the responsibilities of the Arizona Historical Advisory Commission may need clarification (see finding 5).

9. The extent to which changes are necessary in the laws of the agency to adequately comply with the factors listed in this subsection

A review of the enabling statutes indicates that the statutory requirement regarding notification about personal property of historic interest is not being met. Also, there are inconsistencies between the Department divisions set forth in statute and the current division functional organization of the Department, including responsibility for collecting state documents. In addition, the responsibilities of the Arizona Historical Advisory Commission may need clarification (see finding 5).

10. The extent to which the termination of the agency would significantly harm the public health, safety or welfare

The Department provides a wide range of services, materials and information that are essential to the quality of life for the citizens of Arizona. Termination of the department would seriously impair the state's efforts to maintain an informed citizenry and preserve Arizona's past for the future.

11. The extent to which the level of regulation exercised by the agency is appropriate and whether less or more stringent level of regulation would be appropriate

The Department's level of regulation is appropriate.

12. The extent to which the agency has used private contractors in the performance of its duties and how effective use of private contractors could be accomplished

The Department employs private consultants in a variety of areas where special expertise is required or concentrated resources are needed to finish a particular project. The Department used outsourcing in the following projects: the development of a Department video, development and maintenance of the Department Webpage, management training, library statistics project, inventory of cultural resources, assistance with the development of Native American curatorial needs, technical expertise to care for Arizona historic paintings, the development of a statewide reading program, an assessment of the research and archival collections, image preservation, and the design and construction of museum exhibits.

Finding 1. Preservation of Arizona's Historical Materials

Summary

Arizona statutes require that the Department oversee the collection and preservation of all materials that pertain to Arizona history. However, the Department is unable to comply with these statutory requirements, because it lacks adequate storage space and because current storage conditions jeopardize the archival material.

The Department is impeded in fulfilling its statutory mandate to preserve Arizona historical materials.

A.R.S. Section 41-1338 requires the History and Archives Division to collect and preserve "all available...materials pertaining to or bearing upon the history of Arizona." Arizona statutes mandate that the History and Archives Division act as a central depository of all official materials not in current use by state agencies, counties, municipalities and that these materials constitute the state archives. However, the History and Archives Division is prevented from collecting all the available Arizona historical material for a lack of adequate storage space. In addition, the storage areas are not environmentally controlled for humidity and temperature, which are significant factors in document preservation. In a recent Collection Development Report, library consultant, Milton T. Wolf, indicated there were serious problems with preservation of and access to the collections, and that "many valuable and rare materials are in desperate need of preservation."

The critical condition of its collections has been a primary concern for the Department. In 1997, the Department found a wide range of materials in dire need of preservation and adequate storage, including records, pottery, books, newspapers that were disintegrating, as well as lithographs and photographs that were deteriorating. The Department requested emergency preservation funds for some of this most fragile library and archive collection. With the passage of SB 1151 in 1998, which provided \$100,000, a portion was used to consult with other major Arizona repositories and the Library of Congress to preserve endangered and fragile Territorial and early statehood newspapers. Another portion of the allocation was used to transfer unique genealogical and archival research materials, too fragile to be used, to other media allowing for continued public access to the materials. The Department has taken the initial steps to preserve valuable Arizona archives.

Storage and Access

In addition to problems with fragile materials, the Department faces difficulty with new archival material as well. Many recent records that have potential research value are not preserved because there is not enough storage space. Holdings of the History and Archives Division presently contain more than 14,000 cubic feet of records, about one-third of which are stored in the 1938 Capitol addition and the remaining two-thirds at the Records Center two blocks away. There is no more storage space at the Capitol and the Records Center storage is at 92 percent capacity. In 1999, History and Archives turned away more than 800 linear feet of historical records from the Maricopa County Superior Court and 15 linear feet from the Coconino County Assessor's Office. Projections for the next five years indicate a need for an additional 10,000 cubic feet of storage.

Access to historical materials is also problematic. Archived materials in the Capitol are stored in many small areas on several different levels, making public access and use of the collection difficult. Retrieval time for material requested from the History and Archives Division averages three days. With the bulk of the History and Archives collection stored at the Records Center, there are substantial delays in retrieval and delivery of documents. A review of several other states practices reveals faster turn-around time for requested materials. Users of archives and records in Virginia, Texas and Nevada receive requested material within 24-hours. Ideally, archived materials should be stored where they can be easily accessed and readily retrieved.

Recommendation 1: The Legislature should expand storage space for the Arizona archives collection. This legislative action should be based upon a systematic review and evaluation of storage expansion options and costs conducted by the Department.

Environmental Controls

The Capitol building storage areas are not controlled for constant humidity and temperature, causing deterioration of materials. In addition, the Records Center, which stores more than 9,000 cubic feet of archives, is also without climate controls. Archival experts indicate that humidity control is essential to prevent mold as well as dehydration and that an archival facility should maintain a constant temperature of 68 degrees F and relative humidity of 30 percent. The Records Center is not heated, and it relies on evaporative coolers, with an environment that fluctuates even more than the Capitol archives.

Lack of an appropriate fire suppression system in the Capitol library is a significant risk factor for the archival material stored there, as well as the Department's unique genealogical and map collections. The Arizona State Fire Marshall's office strongly recommends that the old Capitol buildings be equipped with a fire sprinkler system in addition to the alarm system planned for public and staff work areas. The Department has studied the fire safety problem and

recommends that the most cost effective solution would be to install a fire suppression system along with the planned fire alarm system in the Capitol buildings. Without a fire suppression system for capitol storage, the material stored there would quickly burn in case of a fire.

With the passage of 1999 legislation that authorizes "a fee schedule to systematically charge agencies for services related to record storage," the Department may have resources to explore options for additional storage space that is climate controlled and fire safe in order to carry out their statutory mandate to preserve Arizona's historical material.

Recommendation 2: The Legislature should provide for enhanced environmental controls and fire safety installations for the Arizona archives collection. This legislative action should be based upon a systematic review and evaluation of environmental control and fire safety options, costs and priorities conducted by the Department.

Finding 2. State Documents Collection

Summary

The Department is the official depository of state publications. Because of difficulties in identifying, collecting and cataloging materials for this collection, it is incomplete. The State Documents Collection is an important resource for Arizona government information that should be available to the public. The Department has undertaken a number of important steps to improve the state documents collection, but more work is needed. The State Publications Task Force, created by the Department in 1997, has developed recommendations to improve this collection.

The Department has been hindered in developing a comprehensive State Documents Collection

By statute, the Department is the mandated depository of state publications. The State Documents Collection should include "... official reports, public documents and publications of state, county and municipal officers departments, boards, commissions, agencies and institutions and public archives," A.R.S. Section 41-1338 (2). The Department also is authorized to develop a state depository and exchange system so that other libraries may easily access the collection.

The State Documents Collection represents an important resource of Arizona government information. However, a 1997 report on the Department's research collection by consultant Milton T. Wolf found the state and legislative collection "in serious arrears." The Department faces several significant challenges in meeting its statutory requirement to serve as the official state depository:

- ♦ State agencies are not providing the Department with copies of all official reports, documents and publications on a consistent basis.
- ♦ State agencies often do not realize that electronic documents also are official reports, documents and publications and must be provided to the Department.
- ♦ Limited Department resources devoted to this project have made it difficult to solicit and catalog the material needed for this collection.

During the last two and one-half years, the Department has taken a variety of steps to address the problem of gathering the appropriate materials for the State Documents Collection and improving access to the collection. These include:

- ♦ Establishment of a State Publications Task Force, which developed recommendations for acquiring, cataloging and exchanging state agency publications.
- ♦ Identification of document sources for legislative and executive branch records, documents and publications.
- ♦ Reallocation of staff resources to work on collecting official records, documents and publications.
- ♦ Expansion of on-line information, offering an on-line catalog and exploring the development of an on-line locator system to provide links to agency documents that are available in electronic form.
- ♦ Partnerships with universities and other libraries to provide access to state publications.

The State Publications Task Force report makes a variety of recommendations for improving the documents collection. Some of the recommendations include giving the Department authority for compliance issues, providing resources to acquire and catalog Arizona state agency publications, establishing a State Publications Advisory Council to guide work on the depository system, and developing a State Information Policy group to manage print and electronic records and provide an ongoing forum for the discussion of issues. In addition, the task force report highlights the importance of providing electronic access and raises the possibility that a legislative mandate may be required.

Other state libraries also have addressed the problem of obtaining government documents. In Texas, the Comptroller's Office will not pay for printing state agency documents without a receipt indicating that the state documents collection has received its designated copies. State libraries in Massachusetts and Kansas have arranged with the state printing office to obtain copies of every document printed for the documents collection. In Montana, the printing services include a flyer with delivery of printed materials reminding agencies of their statutory responsibility to provide copies of documents to the state library.

Maintaining and providing access to the Arizona State documents collection is an important statutory responsibility of the Department. The Department has taken significant steps to improve the state documents collection and exchange during the past few years. Building on the work of the task force, NCSL recommends that the Department develop a comprehensive plan for improving the State Documents Collection, including resources and statutory revisions required.

Recommendation 3: The Department should prepare recommendations for improving the State Documents Collection for review by the Legislature.

Finding 3. Management Issues

Summary

The internal management of the Department overall is satisfactory, but several personnel issues that hinder the effectiveness of the Department, need to be addressed.

Conversations with Department staff and results of the internal staff survey indicate satisfaction with department management (see table 3 below). Most staff were well satisfied with training and professional development opportunities, and they felt they had the tools required to do their job. Also, many staff indicated that Departmental communication was fine and that it had improved with the new director. Overall, staff rated the effectiveness of the Department high, a 4.1 on a scale of 1 through 5, with 5 meaning "strongly agree."

Internal Communication

A staff survey conducted as part of this review and conversations with Department staff indicate that Department communication is satisfactory. However, the size of the Department, the location of staff in six different facilities throughout the Phoenix area, the recent reorganization of Department responsibilities, and development of new projects during the past two years are factors that create communications challenges.

Department communication is satisfactory.

Discussions with Department staff and the internal staff survey conducted as part of this review indicate communication among division staff is good; Department-wide communication ranks slightly lower. Division directors hold regular staff meetings, and in some divisions staff meet weekly to discuss particular services. At the Department level, the director holds monthly meetings with division directors and monthly team management meetings with those involved in special projects. The minutes of those meetings are distributed to all staff through e-mail.

Table 3. Internal Department Survey

Assessment of the following statements (5 = Strongly agree, 1 = Strongly disagree)	
Organizational structure is effective	3.65
Management hires well-qualified people	3.82
Management encourages teamwork	3.70
Work environment fosters good performance	3.50
Satisfied with communication within group	3.52
Satisfied with communication within DLAPR	3.12
Management provides info. needed to do job	3.52
Management provides training needed	3.87
Computer training and resources for job	3.95
Satisfied with performance evaluations	3.51
Feedback in performance evaluations is helpful	3.71
Able to go to supervisor as needed	4.26
Able to go to director as needed	3.56
Overall, DLAPR is well managed	3.59
DLAPR provides effective service to users	4.10

Recent changes in the Department—such as the reorganization of responsibilities and the movement of collections—create a need for expanded communications. For example, because the Arizona History Collection recently was moved from the Research to the History and Archives Division, it is important for staff in these two divisions to work closely to effectively manage and provide access to this collection. Also, because divisions have interrelated responsibilities, it is necessary for them to communicate routinely. For example, the History and Archives Division collaborates with the Museum on various projects and assists with exhibits on a regular basis. Museum staff interact directly with staff in both Research and Archives when Arizona history is researched, analyzed and interpreted.

Staff members in History and Archives, Research and Museum, could benefit from joint meetings to talk about shared projects and individual staff responsibilities. NCSL understands that a joint meeting has been held between Research and History and Archives staff. NCSL encourages the Department to continue these collaborative discussions among the divisions.

Having staff located at six different facilities throughout the Phoenix area poses a communications challenge. E-mail provides an effective way for staff to

communicate regardless of location, and NCSL understands that managers and staff use it regularly. The Department has an excellent Website, and NCSL also recommends using an internal Webpage, or intranet, to share Department information with staff.

The Department has initiated several new projects, discussed in the Background and Introduction section, and it is important to keep all staff updated on these efforts. In addition to the director and division meetings, NCSL recommends holding occasional 'all staff' meetings. This provides an opportunity for employees to hear from the director and talk personally with their colleagues. Brown bag luncheons are also a good way to expand informal communications and collegiality among division staff.

Given the size of the Department, the location of staff in six different facilities throughout the Phoenix area, and the reorganization and development that has occurred during the past two years, the Department should continue to give priority to communicating with staff. NCSL recommends that the Department continue its current communication methods and explore new ways to supplement these efforts.

Recommendation 4: The Department should continue to make communications with staff a priority.

Personnel Guidelines and Policies

Most Department staff are governed by the Department of Administration personnel policies and practices. However, with the passage of legislation in 1999 making new Department staff subject to the legislative personnel system, the Department needs its own personnel guidelines and policies. During the course of this review, these guidelines were completed.

The Department needs personnel rules and guidelines to provide consistent policies for all employees.

Library staff are governed by two different personnel systems. The majority of staff are "covered" by and follow the personnel rules and guidelines of the state civil service system. The remainder, the "uncovered" staff, have operated under the Department personnel practices. This results in different treatment for staff. For example, some staff receive performance reviews every six months according to the strict guidelines of the Department of Administration, while other staff do not receive evaluations on a systematic basis.

With the passage of legislation in 1999, all library staff eventually will become "uncovered," or exempt from the state civil service system. All new Department staff will be "uncovered," and staff currently "covered" have the option of remaining in that status, unless they change positions.

In order to manage effectively, the Department needs its own employee performance evaluation guidelines, job classifications, and pay plans based on the unique needs and roles of the divisions. Having effective policies and employee guidelines that eventually will apply uniformly to all staff will have a direct bearing on the efficiency and effectiveness of the Department. NCSL understands that the Department completed its guidelines during the course of this sunset review. NCSL commends the Department for finalizing these guidelines.

Salaries

Department division directors and staff report difficulty with attracting staff due to low pay. A limited survey of area libraries indicates at least a \$6,000 disparity between the midpoint of the salary range for entry level librarians in the Department and those in Phoenix-area public libraries. Low salaries place the Department at a distinct disadvantage in hiring qualified staff.

Low salaries impede hiring of qualified staff

The problem of low salaries was a recurring theme in NCSL discussions with directors and staff. Directors explained that low pay makes it difficult to attract new staff to Department positions, and it makes it difficult to retain staff who have gained valuable experience in the Department.

In order to compare librarian salaries, NCSL collected pay ranges for entry-level librarian positions at six public libraries in the Phoenix area. For each range, NCSL calculated a midpoint—the statistic commonly used to compare compensation plans. In theory, organizations set the midpoint of their salary ranges equal to the market rate for the position. Table 4 illustrates these salary ranges.

Table 4. Entry Level Salary Ranges for Phoenix Area Libraries and the Department

Library	Entry-Level Salary Range	Salary Midpoint
Chandler Public	\$33,842 — \$45,677	\$39,759
Glendale Public	\$33,682 — \$45,471	\$39,576
Maricopa County	\$32,344 — \$44,595	\$38,470
Mesa Public	\$34,028 — \$45,926	\$39,977
Tucson Public	\$33,088 — \$45,436	\$39,262
Phoenix Public	\$33,384 — \$47,258	\$40,321
Department	\$27,901 — \$36,955	\$32,428

As the information in table 4 indicates, the midpoint for entry level librarian pay ranges in the Department is at least \$6,000 less than the midpoint at nearby public libraries. In addition, the minimum salary for entry level librarians is approximately \$5,000 below comparable salaries in other libraries. Clearly, the Department is not in a competitive position when hiring staff at the entry level. It is possible that this salary disparity occurs throughout the library positions within the Department. The Department director reports that when she advertised for a Division Director opening, qualified candidates were earning as much as \$20,000 to \$30,000 more than the advertised opening. The pay range differences also are significant considering the fact that Department positions have a statewide focus of responsibility. Salary disparities place the Department at a distinct disadvantage compared to other organizations in hiring staff.

NCSL understands that the Department has adjusted salary and classification levels of some staff to bring them into line with similar positions in the state and that the Legislature has provided funding to support this effort. Department staff fulfill an important mission in providing service to the Legislature, courts, state agencies, libraries and the public. In order to attract and retain knowledgeable, well-qualified staff who can further the Department's mission, it needs to offer adequate compensation.

Recommendation 5: The Department should conduct a salary survey and develop a compensation plan and present this information to the Legislature.

Staffing

The need for an adequate number of staff at appropriate levels of responsibility was a recurring theme in discussions with staff and directors.

Adequate staffing is important to the success of the Department.

Directors and staff discussed the need for an adequate number of staff, and for staff at levels appropriate to the scope of their responsibilities. During the last few years, the Department has initiated a number of important projects and products to improve service to constituents. These are highlighted in the Introduction and Background section. In some instances, staff report that improving service in one area made it difficult to complete work in other areas. For example, re-directing resources to serve the Legislature through the Electronic Reference Stations meant there were fewer resources devoted to the state documents collection effort. Also, in order to obtain funding from outside foundations, such as Gates, and initiate partnerships and collaborative projects with outside organizations, a significant investment of staff time was required. It is very possible that some of the Department's new endeavors strained existing resources. The funding provided for this fiscal year, which will permit the Department to fill existing vacancies, may address some of these staffing concerns.

A thorough assessment of staffing needs and requirements is beyond the scope of this study. Therefore, we do not have any specific recommendations about staffing. We have heard from many sources and confirmed from our review of the Department that the last two years have been a time of major change and revitalization in the Department. We urge the Legislature to review the Department goals and objectives and continue to support its efforts to construct a Department that will be a vital state resource in all areas of responsibility.

Finding 4. Relationship with the Legislature and Other Constituents

Summary

The Department has made a concerted effort to improve communication with and service to the Legislature during the last few years. Staff created new information products to inform the Legislature about their work, and they developed new services to assist with legislative research needs. Survey results indicate public libraries and agency records managers are satisfied with most Department services.

Service to the Legislature

The Department has expanded legislative research services, and it has increased communications with the Legislature.

During the last few years, the Department has made a concerted effort to provide information about Department projects and services to staff and members of the Legislature. The Department developed a variety of informational materials, including a video that showcases the work of the Department; brochures that highlight services and products; and press releases for members announcing new grants, projects, meetings and information about the Department accomplishments in legislative districts. In addition, the Department participated in new legislator orientation, initiated on-demand "5-minute tours" to provide brief, personalized discussions about specific areas, and hosted an open house this year to unveil the remodeled areas of the Capitol library and inaugurate the first on-line catalog.

Research services to the Legislature have been enhanced significantly. Electronic Reference Stations with 24-hour access to national on-line research databases now are available in the House and the Senate. Department staff provide ongoing training on the use of the stations and individual research support. The Department Website provides valuable information. In addition, Department librarians assist House and Senate research staff with organization of their resource collections. For the first time this year, Department staff were asked to provide research assistance in support of legislative committees.

In 1998 and 1999, the Department conducted a survey of legislators and staff to assess their familiarity with and usage of the Department. The results from the second year Department survey indicate that, among legislators, there is a growing awareness of the Department.

As part of this sunset review, NCSL interviewed selected members of the Arizona House and Senate and legislative staff. A survey also went to all members of the Legislature and to legislative staff seeking their opinion about the Department. Seventeen surveys were returned from legislators, a 19 percent response. NCSL received 66 surveys from the 105 staff who were mailed survey questionnaires, a 63 percent response.

The survey of legislators indicates that familiarity with the Department divisions was less than 3, on a scale with 5 being "very familiar" and 1 "not familiar." Of the seven divisions listed, the museums received the highest rating, a 3.5 (see table 5 below). The survey indicates that legislators infrequently use Department services, with the exception of the museums. However, when asked to assess the quality of Department work, legislators gave Department staff very high marks for being responsive to legislative requests and for being helpful and courteous. Personal interviews and survey comments indicate high satisfaction with the performance of the Department, despite the fact that many legislators are not direct users of Department services. Comments about the Department were very positive:

"Under the director, the Agency has improved its service and continues to identify needs."

"The Department has done an excellent job of fundraising for public libraries."

"The Library is on the right track."

Table 5. Survey of Legislators

Familiarity with the following division of DLAPR (5 = Very Familiar, 1 = Not Familiar)	
Research	2.60
History and Archives	2.87
Records Management	2.67
Capitol and Carnegie Museums	3.53
Library for the Blind	2.33
Law Library	2.60
Library Extension	2.00
Assessment of the Quality of Work Related to the Following Areas (5 = Strongly Agree, 1 = Strongly Disagree)	
DLAPR works well with legislative committees and staff	4.00
Legislators are adequately involved in oversight of DLAPR	3.20
DLAPR is responsive to legislative requests	3.91
DLAPR is a good resource for legislative information needs	3.73
Library staff members are helpful and courteous	4.36
DLAPR should remain a legislative agency	4.33

Legislative staff indicated a slightly higher usage of Department services. Staff also gave the Department high marks for helpfulness and responsiveness.

"The DLAPR has made tremendous strides in the last year or two and is much more involved with legislative staff. We appreciate it!"

"The Department is providing helpful services."

The Department has developed a variety of methods and products to highlight its work and accomplishments for the Legislature. In addition, it has expanded information services for members and staff. However, survey results and conversations with members indicate that a significant number of members and staff are not familiar with the Department and its services. Therefore, it is important for the Department to explore ways to increase its visibility with the Legislature. NCSL recommends that the Department continue to expand services to the Legislature and communications with members about the variety of useful services and products that it provides.

Recommendation 6: The Department should continue to give high priority to providing research services and raising its visibility with the Legislature.

Service to Public Libraries

Public libraries are satisfied with Department services.

The Department's primary connection to the state library community is the Library Extension Division, which provides consulting assistance, conducts workshops, and awards federal and state grant funds to Arizona's public libraries. As part of this sunset review, NCSL sent a survey to 102 individuals in public libraries. NCSL received 62 responses, which represents a 61 percent response rate.

When asked about satisfaction with overall Department services, responses averaged 4.3 on a scale where 5 indicates "strongly agree" and 1 indicates "strongly disagree." The Department received very good marks for the quality of most of its services. Responses regarding the quality of the services—such as assistance with library management, information systems, and developing county-wide plans—were slightly lower (see table 6).

Table 6. Survey of Public Libraries

Assessment of the Quality of DLPAR in Specific Areas (5=Strongly Agree, 1=Strongly Disagree)	
Department staff are helpful and courteous	4.65
Department staff respond promptly to requests for assistance	4.51
Communication is adequate regarding plans and projects	4.38
Communication is adequate regarding public library needs	4.07
Overall, department services are satisfactory	4.27
Assessment of the Quality of Work of DLAPR in Specific Areas (5=Strongly Agree, 1=Strongly Disagree)	
Decision-making in awarding federal grants is objective and fair	4.33
Priority for allocation of federal funds is fair and open	4.21
Public libraries have input into implementing statewide plans	3.74
Extension division is responsive to needs for programs/services	4.25
Extension division provides services where local gaps occur	4.04
Quality of Service Provided by the Library Extension (4 =Excellent, 1 =Poor)	
Statistical information on public libraries	3.40
Assistance in applying for grants	3.26
Grant application workshops	3.11
Basic skills workshop	3.26
Assistance in developing county-wide plan	2.86
Assistance with information systems	2.95
Assistance with library management	2.97
Summer reading program	3.28
AZNET (on-line borrowing/lending)	3.27
Continuing education courses	3.29

Records Management Services

Records Center users generally are satisfied with the service, but some agencies would like more prompt pick-up of their materials.

The Records Management Center retrieves, distributes, stores, preserves and destroys, according to schedule, state record materials. The NCSL survey of Records Management Center users was sent to 60 agencies, with a response rate of 63 percent. Results indicate there is general satisfaction with Records Center response to requests, communications about procedures, training, records storage, access to materials, and overall economy and efficiency of records management. However, responses regarding "pick-up of materials for storage in a timely fashion" averaged 2.39 on a scale of 5, with 5 indicating that respondents "strongly agree" (see table 7).

With the passage of 1999 legislation that authorizes "a fee schedule to systematically charge agencies for services related to record storage," the Records Management Center should consider funding improvements to its record pick-up system in order to provide a more timely response to requests from state agencies for document storage service.

Recommendation 7: The Department should provide more timely pick-up of agency records for storage at the Records Management Center.

Table 7. Survey of Agency Records Management Staff

Assessment of Following Statements Referring to Records Division (5 = Strongly Agree, 1 = Strongly Disagree)	
Picks up materials for storage in a timely fashion	2.39
Prompt and accurate in response to requests	3.19
Communicates well regarding schedules and procedures	3.65
Provides adequate data and training related to record storage	3.51
Provides adequate preservation, storage, destruction of records	3.30
Provides adequate access to records and materials requested	3.16
Maintains program for economical/efficient management of records	3.00
Rating of the Services Provided by Records Management (5 = Excellent, 1= Poor)	
3.61	

Finding 5. Compliance with Enabling Statutes

Summary

A review of the enabling statutes indicates that the statutory requirement regarding notification about personal property of historic interest is not being met. Also, there are inconsistencies between the Department divisions set forth in statute and the current functional organization of the Department, including responsibility for collecting state documents. In addition, the responsibilities of the Arizona Historical Advisory Commission may need clarification.

Items of Historic Interest

A.R.S. Section 41-1353 requires a notification to the Department board regarding furniture, equipment and personal property that is more than 40 years old and of historic interest, giving the board authority to request transfer of these items to the Department. The law also includes an exemption application process for agencies that do not want items to be transferred.

Requirements in this section of the statute were intended to address collection of historical items from specific time periods. Currently, broader criteria are applied to the acquisition of historic interest items and staff who collect the items do not seek out materials from specific periods. According to Department staff, this provision of the law currently is not being enforced.

The Legislature should consider if requirements regarding notification about items of historic interest should be updated to reflect current collection methods. If it is determined that a statutory requirement to address collection of historical items is unnecessary, this section should be deleted from the statutes.

Recommendation 8: The Legislature should review notification requirements regarding historic items to determine if the statutes should be revised.

Organization of the Department

The current organization of the Department into seven functional divisions—Research, Law, Library Extension, Museum, History and Archives, Braille and Talking Book, and Records Management—does not mirror the department organization set forth in statute.

The statutes identify four divisions: "the department of library, archives and public records shall include the library division, the records management division, the library extension service division and the division of Arizona history and archives" A.R.S. Section 41-1331 (B). In addition, A.R.S. Section 41-1335, authorizes the director to " ... establish and operate a state capitol museum or any other museum approved by the library board."

The statutes include the Law Library as a unit of the library division and give the Library Extension Division responsibility for developing library services for the blind and physically handicapped. However, the Law Library was made a separate division in 1998. The Braille and Talking Book also functions as a Department division. In addition, the Research Division carries out all the responsibilities designated for the library division.

NCSL recommends revising the statutes governing the organization of the Department. The statutes should specify duties for the Department and should not require the establishment of particular divisions. The Department director should have the management authority to create divisions to best carry out the functions.

Recommendation 9: The Legislature should revise the enabling statutes governing the organization of the Department to designate the Department's responsibilities without requiring the establishment of particular divisions.

Responsibility for Collection of State Documents

Both the Library and History and Archives divisions are required by statute to collect materials relating to Arizona government. In practice, the Library Division collects current and non-confidential government materials, while the History and Archives Division collects noncurrent historical books, records, government documents and unpublished historical government records.

The statutes mandate the Library Division to maintain a government documents unit containing reports and other publications of the federal and state governments. However, the types of materials that are included in this unit are listed under the responsibilities of the History and Archives Division. A.R.S. 41-1338 (2). In order to correct this inconsistency, the statutes should be revised to require the Department to collect state documents without specifying division responsibility for this task.

Recommendation 10: The Legislature should revise the enabling statutes to require the Department to collect state documents, without specifying division responsibility for document collection.

Arizona Historical Advisory Commission (AHAC)

The Arizona Historical Advisory Commission (AHAC) was created in 1976 under A.R.S. Section 41-1352(3) with membership to be appointed by the director of the department of library, archives and public records, to " ... advise the Legislature and state agencies on the dissemination of information pertaining to activities relating to historic preservation. Part D of A.R.S. 41-1352 indicates that appointed members of the historic sites review committee include disciplines of prehistoric and historic archaeology, architectural history and architecture and calls for "a historic sites review committee ... to serve as a standing committee."

In discussions with Department staff and other experts on Arizona history, NCSL has learned that the Department does not have expertise in anthropology, archaeology or land use. These areas may be better addressed by a separate board with duties that specifically deal with antiquities and archaeological issues, site protection, land use permits and historic architecture. AHAC may be more effective if its responsibilities focused on cultural heritage and historic records preservation issues of libraries, archives, museums and records management.

Recommendation 11: The Department should study the Arizona Historical Advisory Commission's current responsibilities to determine if statutory revisions are necessary and make recommendations to the Legislature.



Appendix A. Survey Questionnaires

National Conference of State Legislatures
Department of Library, Archives and Public Records
Sunset Review Questionnaire for Legislators

The National Conference of State Legislatures has been hired by the Arizona Legislature to conduct a sunset review of the Department of Library, Archives and Public Records. Your opinions form a critical part of the review. Please take a few minutes to complete these brief questionnaires and **return it to NCSL before July 30, 1999**. A stamped, return envelope is enclosed for your convenience.

Return to: Brian Weberg, NCSL, 1560 Broadway, Suite 700, Denver, CO 80202

1. How familiar are you with the following divisions of the Department of Library, Archives and Public Records?

Division	Very Familiar 5	4	3	2	Not Familiar 1	No Opinion 0
Research						
History and Archives						
Records Management						
Capitol and Carnegie Museums						
Library for the Blind						
Law Library						
Library Extension						

2. How often do you use or visit each of these services or divisions?

Services/Divisions	Daily	Weekly	Monthly	Annually	Never
Research					
History and Archives					
Records Management					
Capitol Museum					
Carnegie Museum					
Capitol Museum Shop					
Library for the Blind					
Library Extension					
Law Library					
Department Web Site					
Electronic Reference Service					

3. For what purposes do you use the information provided by the Department of Library, Archives and Public Records?

National Conference of State Legislatures
Department of Library, Archives and Public Records
Sunset Review Questionnaire for Legislative Staff

The National Conference of State Legislatures has been hired by the Arizona Legislature to conduct a sunset review of the Department of Library, Archives and Public Records. Your opinions form a critical part of the review. Please take a few minutes to complete these brief questionnaires and **return it to NCSL before July 30, 1999**. A stamped, return envelope is enclosed for your convenience.

Return to: Brian Weberg, NCSL, 1560 Broadway, Suite 700, Denver, CO 80202

1. How familiar are you with the following divisions of the Department of Library, Archives and Public Records?

Division	Very Familiar 5	4	3	2	Not Familiar 1	No Opinion 0
Research						
History and Archives						
Records Management						
Capitol and Carnegie Museums						
Library for the Blind						
Law Library						
Library Extension						

2. How often do you use or visit each of these services or divisions?

Services/Divisions	Daily	Weekly	Monthly	Annually	Never
Research					
History and Archives					
Records Management					
Capitol Museum					
Carnegie Museum					
Capitol Museum Shop					
Library for the Blind					
Library Extension					
Law Library					
Department Web Site					
Electronic Reference Service					

3. For what purposes do you use the information provided by the Department of Library, Archives and Public Records?

National Conference of State Legislatures
Department of Library, Archives and Public Records
Sunset Survey for Arizona Public Libraries

The National Conference of State Legislatures has been hired by the Arizona Legislature to conduct a sunset review of the Department of Library, Archives and Public Records. Your opinions form a critical part of the review. Please take a few minutes to complete these brief questionnaires and **return it to NCSL before July 30, 1999**. A stamped, return envelope is enclosed for your convenience.

Return to: Brian Weberg, NCSL, 1560 Broadway, Suite 700, Denver, CO 80202

1. How often do you work with the following divisions?

Division	Daily	Weekly	Monthly	Annually	Never	No Response
Research						
Extension						
Administration						
Library for the Blind						
Museum						
Law Library						
History & Archives						
Records						

2. Please indicate your assessment of the quality of work conducted by the Department of Library, Archives and Public Records by responding to the following statements.

	Strongly Agree				Strongly Disagree	No Opinion
A. Department staff are helpful and courteous.	5	4	3	2	1	0
B. Department staff respond promptly to requests for assistance.	5	4	3	2	1	0
C. Communication is adequate between the department and public libraries about department plans and projects.	5	4	3	2	1	0
D. Communication is adequate between the department and public libraries regarding public library needs.	5	4	3	2	1	0
E. Overall, department services are satisfactory.	5	4	3	2	1	0

3. Are there any other services not now offered by the Department of Library, Archives and Public Records that should be provided?

____ Yes

____ No

Please comment _____

4. Please indicate your assessment of the quality of work conducted by the Library Extension Division by responding to the following statements.

	Strongly Agree				Strongly Disagree	No Opinion
A. The decision-making process to award federal grants is objective and fair.	5	4	3	2	1	0
B. Policy priorities for the allocation of federal funds are decided in a fair and open manner and are responsive to state needs.	5	4	3	2	1	0
C. Public libraries have ample input into implementing the statewide plan.	5	4	3	2	1	0
D. The Library Extension Division is responsive to public library needs for programs and services.	5	4	3	2	1	0
E. Where there is a gap at the local level, the Library Extension Division provides valuable services that would not otherwise be available.	5	4	3	2	1	0

5. Please indicate the quality of service provided by the Library Extension Division for the following items.

Service/ Division	Excellent	Good	Fair	Poor	Not provided but needed	Not provided & not needed	No Opinion
Statistical information on public libraries							
Assistance in applying for grants							
Grant application workshops							
Basic skills workshop							
Assistance in developing the county-wide plan							
Assistance with information systems							
Assistance with library management							
Summer reading program							
AZ NET (online borrowing/lending)							
Continuing education courses							

6. How often do you use the department Web site?

☐ Daily ☐ Weekly ☐ Monthly ☐ Annually ☐ Never

7. Please indicate the quality of the department Web site.

☐ Excellent ☐ Good ☐ Fair ☐ Poor ☐ Not Applicable

Additional Comments: _____

Thank you for completing this survey. Please use the back of the page for additional comments.

National Conference of State Legislatures
Department of Library, Archives and Public Records
Sunset Employee Questionnaire

The National Conference of State Legislatures (NCSL) has been hired by the Arizona Legislature to conduct a sunset review of the Department of Libraries Archives and Public Records. As part of the sunset review the NCSL study team is using this survey to gather information about your perspectives on the management and operation of the Department of Library, Archives and Public Records.

The information gathered from this survey will be used by the NCSL study team to conduct the sunset review. However, individual responses will be kept **confidential**.

We ask that you complete the survey and return it in the stamped, return envelope by **July 30, 1999**. Your help in completing this survey is greatly appreciated.

1. **How often do you receive performance evaluations?**

Every six months	Annually	Occasionally	Never
------------------------	----------	--------------	-------

Comments:

2. **Please respond to the following statements by circling the appropriate answer:**

	Strongly Agree				Strongly Disagree	Do Not Know
The organizational structure of DLAPR is effective.	5	4	3	2	1	x
The management of DLAPR hires well-qualified people.	5	4	3	2	1	x
The management of DLAPR encourages teamwork and cooperation.	5	4	3	2	1	x
The working environment within DLAPR fosters good performance.	5	4	3	2	1	x
I am satisfied with the level of communication within my group (Administration, Braille and Talking Book, History and Archives, Law Library, Library Extension, Museum, Records Management, or Research)	5	4	3	2	1	x
I am satisfied with the level of communication within the DLAPR.	5	4	3	2	1	x

	Strongly Agree				Strongly Disagree	Do Not Know
DLAPR management provides me with the training I need to do my job.	5	4	3	2	1	x
I have the computer training and resources necessary to do my job.	5	4	3	2	1	x
I am satisfied with the performance evaluations.	5	4	3	2	1	x
The feedback provided during performance evaluations was helpful.	5	4	3	2	1	x
I feel I can go to my supervisor as needed.	5	4	3	2	1	x
I feel I can go to the director as needed.	5	4	3	2	1	x
Overall, the DLAPR is well managed.	5	4	3	2	1	x
The DLAPR provides effective service to its users.	5	4	3	2	1	x

Other Comments

Please use this space to provide other comments regarding the organization and operation of the DLAPR.

Background on Respondent

Please indicate the group within the DLAPR where you currently work. (Please check the appropriate response.)

- | | |
|---|---|
| <input type="checkbox"/> Administration | <input type="checkbox"/> Library Extension Division |
| <input type="checkbox"/> Braille and Talking Book | <input type="checkbox"/> Museum |
| <input type="checkbox"/> History and Archives | <input type="checkbox"/> Records Management |
| <input type="checkbox"/> Law Library | <input type="checkbox"/> Research |

Please complete and return by **July 30, 1999** to:
 Brian Weberg
 National Conference of State Legislatures
 1560 Broadway, Suite 700
 Denver, Colorado 80202
 (303) 830-2200 (voice) (303) 863-8003 (fax)
 e-mail: brian.weberg@ncsl.org

National Conference of State Legislatures
Department of Library, Archives and Public Records
Sunset Review Questionnaire for Records Management

The National Conference of State Legislatures has been hired by the Arizona Legislature to conduct a sunset review of the Department of Library, Archives and Public Records. This survey considers the **Records Management Division**. Your opinions form a critical part of the review. Please take a few minutes to complete these brief questionnaires and **return it to NCSL before July 30, 1999**. A stamped, return envelope is enclosed for your convenience.

Return to: Brian Weberg, NCSL, 1560 Broadway, Suite 700, Denver, CO 80202

1. Please respond to the following statements by circling the appropriate number.

	Strongly Agree				Strongly Disagree	No Opinion
The Records Management Division picks-up materials for storage and retention in a timely fashion.	5	4	3	2	1	0
The division is prompt and accurate in response to requests regarding stored records or materials.	5	4	3	2	1	0
The division communicates well with my agency regarding schedules and procedures.	5	4	3	2	1	0
The division provides adequate data and training regarding agency responsibilities for record storage.	5	4	3	2	1	0
The division provides adequate preservation, storage and destruction of public records.	5	4	3	2	1	0
The division provides adequate access to records and materials requested by my agency.	5	4	3	2	1	0
The division maintains a program for the economical and efficient management of my agency's public records.	5	4	3	2	1	0

2. For what purposes do you use the services provided the Records Management Division?

3. Are there any services not now performed by the Records Management Division that should be performed?

YES _____ NO _____

Please comment _____

4. Overall, how would you rate the services provided by the Records Management Division?

5
Excellent

4

3

2

1
Poor

0
No Opinion

Please use this space for other comments about the operation and administration of the division.

Thank you for completing this survey.

Appendix B. Survey Summaries

Legislator Survey Summary

1. Familiarity with the following division of DLAPR (5 = Very Familiar, 1 = Not Familiar)						
Research	2.6					
History and Archives	2.87					
Records Management	2.67					
Capitol and Carnegie Museums	3.53					
Library for the blind	2.33					
Law Library	2.6					
Library Extension	2					
2. How often the following services were used		Daily	Weekly	Monthly	Annually	Never
Research	0	0	3	3	11	
History and Archives	0	0	1	6	9	
Records Management	0	0	0	1	14	
Capitol Museum	1	2	4	5	5	
Carnegie Museum	0	0	1	4	12	
Capitol Museum Shop	0	1	6	3	6	
Library for the Blind	0	0	0	2	15	
Library Extension	0	0	0	3	14	
Law Library	0	0	0	5	11	
Department Web Site	0	0	1	0	14	
Electronic Reference Service	0	1	1	0	14	
3. Purposes for the use of information from DLAPR						
	Issues related to department / budget					
	Answer questions/Research					
	Review old news					
	Exhibits					
4. Assessment of the quality of work related to following (5 = Strongly Agree, 1 = Strongly Disagree)						
DLAPR works well with legislative committees and staff	4					
Legislators are adequately involved in oversight of DLAPR	3.2					
DLAPR is responsive to legislative requests	3.91					
DLAPR is a good resource for legislative information needs	3.73					
Library staff members are helpful and courteous	4.36					
DLAPR should remain a legislative agency	4.33					
5. Are there any services not provided by DLAPR that should be						
	2 YES					
	6 NO					
6. An overall rating of the services provided by DLAPR (5 = Excellent, 1 = Poor)						
	4					
Total Surveys Received	17					
Total Surveys Mailed Out	90					

Legislative Staff Survey Summary

1. Familiarity with the following divisions of DLAPR (5 = Very Familiar, 1 = Not Familiar)						
Research	2.57					
History and Archives	2.46					
Records Management	2.40					
Capitol and Carnegie Museums	2.75					
Library for the Blind	1.33					
Law Library	2.76					
Library Extension	1.47					
2. How often the following services were used		Daily	Weekly	Monthly	Annually	Never
Research	1	4	13	17	30	
History and Archives	0	2	7	20	36	
Records Management	0	2	7	20	36	
Capitol Museum	0	3	16	27	13	
Carnegie Museum	0	0	4	18	41	
Capitol Museum Shop	0	1	20	33	11	
Library for the Blind	0	0	0	2	62	
Library Extension	0	1	2	5	57	
Law Library	0	5	12	15	33	
Department Web Site	3	2	8	12	40	
Electronic Reference Service	3	11	7	10	34	
3. Reasons for the use of information provided by DLAPR						
	Research/ Answer questions					
	Record retention/Microfilming					
	Reference for public					
	Newspaper articles					
	Computer use/ Lexis					
4. Assessment of the quality of work related to statements (5 = Strongly Agree, 1= Strongly Disagree)						
DLAPR works well with legislative committees	3.96					
DLAPR is responsive to legislative requests	4.11					
DLAPR is a good resource for legislative information needs	4.10					
Library staff members are helpful and courteous	4.49					
DLAPR should remain a legislative agency	4.33					
5. Any services not provided by DLAPR that need to be						
	5	YES				
	37	NO				
6. An overall rating of the services provided by DLAPR (5 = Excellent, 1 = Poor)						
	4.34					
Total Surveys Returned	66					
Total Surveys Mailed Out	105					

Public Library Survey Summary

1. Frequency of work done with the following divisions		Daily	Weekly	Montly	Annually	Never
	Research	1	2	13	18	18
	Extension	0	15	26	14	3
	Administration	0	7	23	16	8
	Library for the Blind	1	4	16	18	14
	Museum	0	1	2	15	32
	Law Library	2	1	3	15	29
	History & Archives	1	1	6	21	24
	Records	0	0	4	19	28
2. Assessment of the quality of DLPAR in specific areas (5 = Strongly Agree, 1 = Strongly Disagree)						
a.	Department staff are helpful and courteous	4.65				
b.	Department staff respond promptly to requests for assistance	4.51				
c.	Communication is adequate regarding plans and projects	4.38				
d.	Communication is adequate regarding public library needs	4.07				
e.	Overall, department services are satisfactory	4.27				
3. Other services DLAPR should provide						
		17	Yes			
		34	No			
		11	No answer			
4. Assesment of the quality of work of DLAPR in specific areas (5 = Strongly Agree, 1 = Strongly Disagree)						
a.	Decsion-making in awarding federal grants is objective and fair	4.33				
b.	Priority for allocation of federal funds is fair and open	4.21				
c.	Public libraries have input into implementing statewide plans	3.74				
d.	Extension division is responsive to needs for programs/services	4.25				
e.	Extension division provides services where local gaps occur	4.04				
5. Quality of service provided by the Library Extension (4 = Excellent, 1 = Poor)						
	Statistical information on public libraries	3.40				
	Assistance in applying for grants	3.26	2 (not provided but needed)			
	Grant application workshops	3.11	1 (needed) 1 (not needed)			
	Basic skills workshop	3.26	1 (needed)			
	Assistance in developing county-wide plan	2.86	2 (needed)			
	Assistance with information systems	2.95	3 (needed)			
	Assistance with library management	2.97	3 (needed) 3 (not needed)			
	Summer reading program	3.28				
	AZ NET (on-line borrowing/lending)	3.27	1 (not needed)			
	Continuing education courses	3.29				
6. Frequency of Department web site use						
	Daily	5				
	Weekly	10				
	Monthly	24				
	Annually	6				
	Never	14				
7. Quality of Department web site (4 = Excellent, 1 = Poor)		2.98				
Total Surveys Received		62				
Total Surveys Mailed Out		102				

Department Staff Survey Summary

1. Frequency of performance evaluations			
Every Six Months	40		
Annually	34		
Occasionally	8		
Never	4		
2. Assessment of the following statements (5 = Strongly Agree, 1 = Strongly Disagree)			
Organizational structure is effective	3.65		
Management hires well-qualified people	3.82		
Management encourages teamwork	3.70		
Work environment fosters good performance	3.50		
Satisfied with communication within group	3.52		
Satisfied with communication within DLAPR	3.12		
Management provides info. needed to do job	3.52		
Management provides training needed	3.87		
Computer training and resources for job	3.95		
Satisfied with performance evaluations	3.51		
Feedback provided in P.E. is helpful	3.71		
Able to go to supervisor as needed	4.26		
Able to go to director as needed	3.56		
Overall DLAPR is well managed	3.59		
DLAPR provides effective service to users	4.10		
Total Surveys Received	89		
Number per department marked			
Administration	9		
Braille and Talking Book	15		
History and Archives	7		
Law Library	7		
Library Extension Division	4		
Museum	11		
Records Management	8		
Research	21		
Unknown	6		
Total Surveys Mailed out	125		

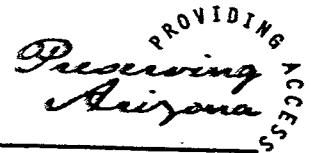
Records Management Survey Summary

1. Assesment of following statements referring to Records Division (5 = Strongly Agree, 1 = Strongly Disagree)					
Picks up materials for storage in a timely fashion	2.39				
Prompt and accurate in response to requests	3.19				
Communicates well regarding schedules and procedures	3.65				
Provides adequate data and training related to record storage	3.51				
Provides adequate preservation, storage, destruction of records	3.30				
Provides adequate access to records and materials requested	3.16				
Maintains program for economical/efficient management of records	3.00				
2. Purposes for whichthe Records Management Division is used					
	Storage of records, files, cases				
	Retention schedules				
	Microfilming				
	Dispose of records				
	Statndardization of files				
	Retrieval of records				
	Training for record keeping and filing				
3. Any services not now performed that should be					
	3 Yes				
	27 No				
	Audits to ensure compliance with record storage				
	Contact with agencies about training and services				
4. Rating of the services provided by Records Management (5 = Excellent, 1= Poor)					
	3.61				
Total Surveys Received					
	38				
Total Surveys Mailed Out					
	60				

Appendix C. Agency Response



State of Arizona
DEPARTMENT OF
LIBRARY, ARCHIVES AND PUBLIC RECORDS
GladysAnn Wells, Director



September 22, 1999

Brian Weberg
National Conference of State Legislatures
1560 Broadway Suite 700
Denver, Colorado 80202

Dear Mr. Weberg:

On behalf of the Department of Library, Archives and Public Records, I thank you for a fair, clear and comprehensive Sunset evaluation. Our agency enjoys a complex mission and has experienced a profound revitalization in the last few years. I realize that the National Conference of State Legislatures (NCSL) study team and the project review group processed a considerable amount of information within a very tight time frame. We are grateful for their diligence, perseverance, and professionalism and above all, their good humor. I am grateful, also, to our staff for understanding this process as an opportunity to tell our exciting story and for participating with high energy.

The Department concurs with the findings and recommendations of this 1999 Sunset Review. We understand the critical nature of the work left to complete—despite the accomplishments of the last few years. We would like to stress two especially sensitive and important recommendations.

Recommendation 3: The Department should prepare recommendations for improving State Documents Collection for review by the Legislature.

Response:

We have begun forging a partnership with several institutions to work toward a resolution of the state documents issues your review addresses. I cannot stress enough the importance of corrective legislation to ensure that Arizona retains access to its governmental documentary record. Every day dozens of electronic documents, reports and assessments, developed with Arizona taxpayer monies, disappear forever. We must work quickly to provide for permanent public access to publicly purchased governmental materials.

The members of the Library Board have agreed to review draft state document legislative concepts and have encouraged us to provide a draft legislative proposal for discussion during the next session.

Recommendation 6: The Department should conduct a salary survey and develop a compensation plan for legislative consideration.

Response:

We have begun developing a request for proposal with the University of Arizona School of Library and Information Science to assist us with a state and regional evaluation of salary levels in our four professions—library, curatorial, archives and records management. Nearly half of our management team is retirement eligible. Discrepancies of between \$20,000 and \$30,000 for comparable professional recruitment leave the Department at a distinct disadvantage when confronted with attrition. Although we are grateful for the Library Board's and other Legislative Members' initial upgrade and funding responses, there remains a critical need for additional salary increases if the Department's current level of accomplishments is to be maintained. We hope that a systematic, third party assessment will help us present our needs to the Members.

Thank you for the opportunity to review our programs, services and priorities with the NCSL study team. We appreciate the completeness of their Sunset evaluation.

Sincerely,

A handwritten signature in cursive script, reading "GladysAnn Wells".

GladysAnn Wells, Director